

Attorney Docket No.: MBM1200

Applicant: Steeves et al.

Serial No.: 09/530,234

Filed: ~~herewith~~ 04/25/00

Title: IMMUNOLOGICAL COMPOSITIONS AND METHODS OF USE TO TRANSIENTLY ALTER MAMMALIAN CENTRAL NERVOUS SYSTEM MYELIN TO PROMOTE NEURONAL REGENERATION

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 C.F.R. §1.9(f) and 1.27(d) - NONPROFIT ORGANIZATION)

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION:

UNIVERSITY OF BRITISH COLUMBIA

ADDRESS OF ORGANIZATION

2194 Health Sciences Mall, IRC Room 331, Vancouver, BC V6T 1Z3, CANADA

TYPE OF ORGANIZATION

☐ University or other Institution of Higher Education

☒ Tax Exempt under Internal Revenue Service Code (26 U.S.C. §§501(a) and 501(c) (3))

☐ Nonprofit Scientific or Educational under Statute of State of the United States of America (Name of State _____) (Citation of Statute _____)

☐ Would qualify as tax exempt under Internal Revenue Service Code (26 U.S.C. §§501(a) and 501(c) (3)) if located in the United States of America

☐ Would qualify as nonprofit Scientific or Educational under Statute of State of the United States of America if located in the United States of America (Name of State _____) (Citation of Statute _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. §1.9(e) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, with regard to the invention entitled IMMUNOLOGICAL COMPOSITIONS AND METHODS OF USE TO TRANSIENTLY ALTER MAMMALIAN CENTRAL NERVOUS SYSTEM MYELIN TO PROMOTE NEURONAL REGENERATION by inventors John D. Steeves; Jason Dyer; and Hans Keirsted as described in

☒ the specification filed herewith

☐ application Serial No. _____ filed _____

☐ Patent No. _____, issued _____

I authorize and request insertion of the serial number of the application when officially known.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 C.F.R. §1.9(d) or by any concern which would not qualify as a small business concern under 37 C.F.R. §1.9(d) or a nonprofit organization under 37 C.F.R. §1.9(e).

NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 C.F.R. §1.27).

Full Name _____

Address _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

Full Name _____

Address _____

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 C.F.R. §1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING

Angus Livingstone

TITLE IN ORGANIZATION

Managing Director
University-Industry Liaison Office

ADDRESS OF PERSON SIGNING

IRC Room 331 - 2194 Health Sciences Mall, Vancouver, BC V6T 1Z3

SIGNATURE



DATE

APR 17 2000

In re Application of:)
Steeves et al.)
Application No.: Unassigned)
Filed: Herewith)
For: IMMUNOLOGICAL)
COMPOSITIONS AND METHODS)
TO USE TO TRANSIENTLY ALTER)
MAMMALIAN CENTRAL)
NERVOUS SYSTEM MYELIN TO)
PROMOTE NEURONAL)
REGENERATION)

POWER OF ATTORNEY BY ASSIGNEE

As a below-named assignee of the above-identified application ("Application"):

I hereby appoint the following attorneys of the assignee to prosecute the
Application and to transact all business in the United States Patent and Trademark Office
connected therewith:

JOSEPH R. BAKER
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JOHN OSKOREP
STEPHEN E. REITER
STEVEN R. SPRINKLE
RAMSEY R. STEWART
DAVID R. STEVENS
BARRY N. YOUNG

Registration No. 40,900
Registration No. 41,734
Registration No. 35,133
Registration No. 38,347
Registration No. 33,899
Registration No. 33,402
Registration No. 37,643
Registration No. 40,050
Registration No. 31,238
Registration No. 35,255
Registration No. 30,298
Registration No. 41,234
Registration No. 31,192
Registration No. 40,825
Registration No. 38,322
Registration No. 38,626
Registration No. 27,744

In re Application of:
Steeves et al.
Application No.: Unassigned
Filed: Herewith
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PATENT
Attorney Docket No.: MBM1200

I hereby authorize and request insertion of the application number of the
Application when officially known.

Direct all telephone calls to:

LISA A. HAILE, PH.D.
Telephone: (858) 677-1456

Address all correspondence to:

LISA A. HAILE, PH.D.
GRAY CARY WARE & FREIDENRICH LLP
4365 Executive Drive, Suite 1600
San Diego, CA 92121

UNIVERSITY OF BRITISH COLUMBIA
a ___ partnership, ___ limited liability partnership, ___ corporation, ___ limited liability
company of the (state/province/country) _____

By: _____

Name: _____

Angus Livingstone
Managing Director
University - Industry Liaison Office

Title: _____

Date: _____

APR 17 2000

DECLARATION FOR PATENT APPLICATION

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As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship is as stated below next to my name.

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **IMMUNOLOGICAL COMPOSITIONS AND METHODS OF USE TO TRANSIENTLY ALTER MAMMALIAN CENTRAL NERVOUS SYSTEM MYELIN TO PROMOTE NEURONAL REGENERATION**, the specification of which

 x is attached hereto.

 x was filed on 04/25/00

as U.S. Application Serial No. 09/530,234

and was amended on _____

if applicable (the "Application").

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability of the subject matter of the Application as defined in Title 37, Code of Federal Regulations ("C.F.R."), § 1.56.

With respect to the Application, I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional application(s) listed below:

(Application Serial No.)

(Filing Date)

With respect to the Application, I hereby claim the benefit under 35 U.S.C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of the application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability of the subject matter of the Application as defined in Title 37, C.F.R., Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of the Application:

<u>PCT/CA98/00997</u>	<u>10/28/98</u>	<u>Published</u>
(Application Serial No.)	(Filing Date)	(Status)
		(patented, pending, abandoned)

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate or of any PCT international application(s) designating at least one country other than the United States of America listed below and have also identified below any foreign application for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

COUNTRY	APPLICATION NO.	FILING DATE	PRIORITY CLAIMED	
<u>Canada</u>	<u>2,251,410</u>	<u>10/16/98</u>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<u>Canada</u>	<u>2,219,683</u>	<u>10/28/97</u>	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of first inventor: John D. Steeves

Inventor's signature: [Signature]

Date: APRIL 18, 2000

Residence: North Vancouver, British Columbia, Canada 11X

Citizenship: Canadian

Post Office Address: 1061 Heritage Blvd.
North Vancouver, British Columbia, V7J 3G7
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Full name of second inventor: Jason K. Dyer

Inventor's signature: [Signature]

Date: APRIL 18, 2000

Residence: North Vancouver, British Columbia, Canada 11X

Citizenship: Canadian

Post Office Address: 2-230 East Keith Road
North Vancouver, British Columbia V7L 1V5
Canada

Full name of third inventor: Hans S. Keirstead

Inventor's signature: _____

Date: _____

Residence: Irvine, California

Citizenship: United Kingdom

Post Office Address: 2 Mendel Court
Irvine, California 92612
United States

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Full name of first inventor: John D. Steeves

Inventor's signature: X

Date: X

Residence: North Vancouver, British Columbia, Canada

Citizenship: Canadian

Post Office Address: 1061 Heritage Blvd.
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Full name of second inventor: Jason K. Dyer

Inventor's signature: X

Date: X

Residence: North Vancouver, British Columbia, Canada

Citizenship: Canadian

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North Vancouver, British Columbia V7L 1V5
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Full name of third inventor: Hans S. Keirstead

Inventor's signature: X

Date: X April 18 2000

Residence: Irvine, California

Citizenship: ~~United Kingdom~~ Canadian

Post Office Address: 2 Mendel Court
Irvine, California 92612
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